

CH-1 of 30 Mar 99
DEPARTMENT OF THE NAVY
BUREAU OF NAVAL PERSONNEL
WASHINGTON, D. C. 20370-5000

IN REPLY REFER TO
BUPERSINST 5040.2H
Pers-00K
2 JUN 95

BUPERS INSTRUCTION 5040.2H

From: Chief of Naval Personnel

Subj: COMMAND INSPECTION PROGRAM FOR ACTIVITIES UNDER THE
COMMAND OF THE CHIEF OF NAVAL PERSONNEL

Ref: (a) SECNAVINST 5040.3
(b) OPNAVNOTE 5040 of 11 Oct 94
(c) SECNAVINST 7700.7

Encl: (1) BUPERS Field Activities
(2) Implementation Status Report (ISR)
(3) Summary of Reporting Requirements
(4) List of Authorized Periodic Oversight Visits

1. Purpose. This instruction sets forth the policies and procedures for conducting command inspections of activities under the command of the Chief of Naval Personnel (CHNAVPERS).

2. Cancellation. BUPERSINST 5040.2F.

3. Applicability. This instruction applies to all departments and activities under the command of the CHNAVPERS.

4. Discussion

a. Reference (a) describes the Naval Command Inspection Program and directs that command authorities establish a program to conduct inspections of activities under their command.

b. The Deputy Chief of Naval Personnel (DEPCHNAVPERS), on behalf of the CHNAVPERS, is responsible for inquiry into and reporting on, the effectiveness and efficiency of field activities under CHNAVPERS' command. Upon request from other command and support officials, inquiry into and reporting on any matter over which CHNAVPERS exercises technical guidance or has support responsibility may be undertaken.

5. Special Interest Items. Reference (b) lists items that are of special interest to SECNAV and CNO. These items shall be covered during all BUPERS command inspections and comments on the conditions found are reported in accordance with section 13 of this instruction. BUPERS special interest items are also reviewed during command inspections. A list of these items are provided to the activity upon notification of the formal inspection dates. BUPERS special interest items are reviewed and updated as necessary.

6. Authority, Responsibility, and Action

a. The Bureau of Naval Personnel Inspector General (BUPERS IG) (Pers-00K). The BUPERS IG serves as the principal advisor to the CHNAVPERS for inspection matters and is responsible for coordinating and conducting inspections of field activities listed in enclosure (1). In this capacity, the BUPERS IG serves as Chief Inspector and exercises overall direction and coordination of the Command Inspection Program for CHNAVPERS commanded activities. To carry out this function, the BUPERS IG will:

(1) direct cognizant program managers to identify Assistant Chief Inspectors who shall assist in the inspection of the field activities.

(2) monitor, schedule, and coordinate the inspection of all activities under the immediate command of the CHNAVPERS.

(3) prepare inspection reports after each command inspection and distribute copies to all cognizant and relevant parties.

(4) submit quarterly status reports of command inspections to the DEPCHNAVPERS. Monitor the submission of status reports and issue quarterly action tickler reports to cognizant addressees.

(5) review external command inspection reports to identify BUPERS action items, to task each, as appropriate, and coordinate submission of quarterly status reports to appropriate inspection authority.

(6) request resources from the CHNAVPERS and its field activities, as necessary, to fully support the Command Inspection Program.

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(7) ensure that CHNAVPERS is in compliance with the reporting requirements of references (a) through (c).

b. CHNAVPERS Officials and Activities

(1) Addressees shall provide manpower and resources as requested in cooperation and support of the BUPERS IG Command Inspection Program.

(2) Cognizant program managers will provide directives and checklists governing the mission and function of their activities to Pers-00K for use as guidance to the inspection team and the command being inspected. Revisions and changes shall be provided as they occur.

(3) Special-purpose inspections, appraisals, audits, surveys, or visits may be conducted in addition to command inspections by BUPERS representatives other than BUPERS IG. However, cognizant program managers must advise the BUPERS IG of any scheduled inspections, appraisals, audits, surveys, or visits in order to ensure no conflict or duplication in command inspection scheduling. Notification may be done by memorandum. Enclosure (4) provides a list of authorized periodic oversight visits. Proposed changes to enclosure (4) must be approved by CHNAVPERS. Forward change requests to CHNAVPERS (Pers-00K).

(4) Provide copies of all inspections, appraisals, audits, surveys, or visits conducted upon notification of the activity's inspection date. Provide summaries of all inspections, audits, surveys, and visits on a semi-annual basis to Pers-00K by 1 March and 1 September.

7. Command Inspection Team Composition. Command Inspection Teams will consist of a sufficient number of qualified members to adequately perform a thorough command inspection. Assistant Chief Inspectors and other inspection team members will be assigned to Pers-00K on a temporary additional duty (TEMADD) basis from within BUPERS, activities under the command of CHNAVPERS, or from other bureaus or agencies, as required.

8. Frequency of Inspections. All activities under the command of the CHNAVPERS will receive a command inspection every 3 years. More

9. Inspection Planning and Scheduling. On an annual basis, Pers-00K prepares for DEPCHNAVPERS signature and issuance a BUPERS notice (per reference (a)), containing a proposed schedule of command inspections and tentative inspection dates for approximately 3 fiscal years. This schedule is subject to change in accordance with operational

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requirements. Activities will be notified of any changes which affect proposed inspection dates.

10. Inspection Dates. Approximately 3 months in advance, the BUPERS IG will provide the activity inspected with the specific dates of the scheduled command inspection. CHNAVPERS offices are also notified and asked to identify problem areas for review.

11. Itinerary and Funding. The Chief Inspector will distribute a detailed inspection itinerary to all concerned parties 1 month prior to each scheduled inspection. TEMADD/TAD orders/funding requirements will be prepared by Pers-00K and submitted to the Comptroller/Resources Management Office (Pers-02) at least 10 working days prior to the day of travel.

12. Surprise Inspections and Reinspections. In addition to planned inspections, surprise inspections and reinspections may be held when circumstances warrant.

13. Inspection Report Procedures. The Chief Inspector shall prepare and submit formal reports of command inspections in accordance with reference (a) and this instruction. This report shall contain an evaluation of the activity including comments necessary to substantiate the overall evaluation. Reports shall also contain information on conditions requiring remedial action which should be brought to the attention of the commanding officer of the inspected activity and higher authority. A list of the special interest items in reference (b) and a brief description of the findings shall be contained in an enclosure to the report. Any items not inspected should include the inspector's rationale. "Not applicable" is not an acceptable rationale without an explanation. Enclosure (3) provides a summary of reporting requirements.

14. Release Authority. In accordance with reference (a), all inspection reports are subject to the following:

a. Are considered internal communications and are privileged information. Accordingly, adherence to the provisions of reference (a) is required for activities under the command of the CHNAVPERS.

b. Shall be marked FOR OFFICIAL USE ONLY.

c. Shall contain on the front page, the following statement:

"The information contained here relates to the internal practices of the Department of the Navy and is an internal communication within the Navy Department. THIS REPORT IS NOT RELEASABLE without the specific approval of the Bureau of Naval Personnel Inspector General. Its contents may not be disclosed outside original distribution, nor may it be reproduced in whole or in part. All requests for this report, extracts therefrom, or correspondence related thereto shall be referred to the Bureau of Naval Personnel Inspector General."

15. Follow-up. Conditions requiring action shall be tasked to appropriate activities and CHNAVPERS officials by DEPCHNAVPERS. Activity and CHNAVPERS officials assigned action on inspection recommendations shall provide Implementation Status Reports (ISRs) to Pers-00K quarterly until corrective action is complete. DEPCHNAVPERS is the final approval authority for completion of BUPERS inspection recommendations. For other inspection recommendations, approval authority rests with the cognizant inspecting authority. Enclosure (2) provides a sample ISR format. OPNAV 5040/2 may be used in lieu of enclosure (2).

16. Forms. OPNAV 5040/2, Implementation Status Report, is available through normal supply channels, stock number 0107-LF-774-1001 or from Pers-00K1.

H. C. MCKINNEY
Rear Admiral, U.S. Navy
Deputy Chief of Naval Personnel

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BUPERS FIELD ACTIVITIES/DETACHMENTS.¹

- (1) Navy Personnel Research and Development Center,
San Diego, CA (Pers-OOH)
- (2) Navy Recruiting Command, Arlington, VA (Pers-2)
- (3) Enlisted Personnel Management Center, New Orleans, LA
(Pers-4)
- (4) Navy Manpower Analysis Center, NAS Memphis, TN (Pers-5)
- (5) Naval Alcohol Rehabilitation Centers:
Jacksonville, FL; Norfolk, VA; Miramar, San Diego, CA;
(Pers-6)
- (6) BUPERS Detachment, Drug and Alcohol Program Management
Activity, San Diego, CA (Pers-6)
- (7) Navy Band, Washington, DC (Pers-6)
- (8) U. S. Joint Services Activity, The New Sanno, Tokyo,
Japan (Pers-6)
- (9) Navy Consolidated Brigs:
Charleston, SC; Miramar, CA (Pers-8)
- (10) Navy Appellate Leave Activity, Washington, DC (Pers-8)
- (11) Naval Reserve Personnel Center, New Orleans, LA (Pers-9)

¹ Cognizant BUPERS Headquarters' Offices shown in parenthesis.

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IMPLEMENTATION STATUS REPORT (ISR)

REPORT NAME, SERIAL, AND DATE

(Example: Command Inspection Report for Navy Personnel Research and Development Center, San Diego, CA; BUPERS ltr 5040, Pers-01/008 of 13 Jan 93)

COMMAND/RECOMMENDATION NO.: (Example: NPRDC 91-92)

DATE OF ISR: (Date the ISR is filled out.)

NAME OF ACTION OFFICER/CODE/TELEPHONE NUMBER:

(If outside DC, list DSN number and include area code with commercial number.)

ORGANIZATION(S)COORDINATED WITH, IF ANY:

(Example: N16, Pers-6)

RECOMMENDATION NO-/TEXT: (Verbatim from the inspection report.)

CURRENT IMPLEMENTATION STATUS:

Describe in plain language:

- Your progress/current status
- Any continuing problems hindering timely completion
- Provide any supporting documentation that may clarify or detail your action taken.

If action is considered complete, so state.

NEXT STEP IN REQUIRED ACTION:

Include estimated date of completed action. Describe your plans for work remaining to be accomplished. ("None, if action is considered complete.)

SUMMARY OF REPORTING REQUIREMENTS

<u>REPORT</u>	<u>ADDRESSEE(S)</u>	<u>DUE DATE(S)</u>	<u>ACTION</u>
Inspection/Audit Summaries	Pers-00K	1 Mar & 1 Sep	Inspecting Office
Input for semi-annual	Pers-00K	10 Mar & 10 Sep	CNRC IG
Semi-Annual Report	NIG	15 Mar & 15 Sep	Pers-00K
BUPERSNOTE 5040 (Inspection Schedule)	BUPERS Activities BUPERS List 1A, NIG	31 Dec	Pers-00K
ISRs	Pers-00K	Quarterly from date Of initial tasker	Assigned action office Or activity
Inspection Status	DCNP	Quarterly	Pers-00K
Command Inspection Reports	Inspected activity Copies to: DCNP, Cognizant Pers code, NIG		

LIST OF AUTHORIZED PERIODIC OVERSIGHT VISITS

<u>Oversight Visit Name</u>	<u>Periodicity</u>	<u>Conducted By</u>	<u>Origin/Reference</u>	<u>Visited Command(s)</u>
BUPERS/NPC Command Inspection	Triennial	BUPERS/NPC IG	NAVY IG BUPERSINST 5040.2H SECNAVINST 5040.3	All BUPERS and NPC offices and activities
Band Technical Assistance, Site Visit	At least every 2 years	NPC-64	NPC-64 BUPERSINST 5400.1	Naval Academy Band, Atlantic Fleet Band, Sixth Fleet Band, CINCSOUTH Band, Pacific Fleet Band, Navy Band Jacksonville, Mid-South, Seattle, Fleet Support Unit, Newport RI, New Orleans, Great Lakes
MWR Fiscal Review	Annual	NPC-65E	NPC-65 OPNAVINST 1700.7D, DOD 7000.14R, DODI 7600.6	All Commands having MWR fund activities reporting over \$250K annual revenue
Child Development Program Certification Visit	Annual(24 months proposed)	NPC-659 DODI 6060.2	NPC-659	All Commands with Child Development Programs
School-Age Care Program Certification Visit	Annual(24 months proposed)	NPC-659	NPC-659 DODI 6060.3	All Commands with School-Age Care Programs
Family Service Center Accreditation Visit	Triennial	NPC-660	NPC-660 OPNAVINST 1754.IA, SECNAVINST 1754.1, DODI 1342.22	All shore station Commands having FSCs except CINCPACFLT.
Navy Flying Club Program Inspection	24 Months + Assist Visits	NPC-65		NAS Atlanta, Brunswick, Corpus Christi, Keflavik, Jacksonville, Lake Hurst, Lemoore, Mid South, Monterey, Naples, Norfolk, North Island, Pax River, Point Mugu, Roosevelt Roads and Whidbey Island. Navsta Annapolis, Navsta Rota, NAS JRB New Orleans

LIST OF AUTHORIZED PERIODIC OVERSIGHT VISITS (CONT'D)

<u>Oversight Visit Name</u>	<u>Periodicity</u>	<u>Conducted By</u>	<u>Origin/Reference</u>	<u>Visited Command(s)</u>
Brig Inspection	Annual (Triennial proposed for Consolidated Brigs)	NPC-84	NPC-84 SECNAVINST 1640.913	Brig, Charleston, Miramar, Pearl Harbor, Puget Sound, Jacksonville, FL, Norfolk, VA, PCF Guantanamo Bay, PCF Cuba, PCF New London, PCF Great Lakes, IL, PCF Pensacola, FL, PCF Yokosuka, Japan
Triennial Transient Personnel Unit Inspection (TPU)	Triennial	NPC-84	NPC-84 BUPERSINST 1306.77	TPU San Diego, Pearl Harbor, Puget Sound, Jacksonville, Norfolk, Great Lakes, Little Creek, Charleston, SC, TPD COMNAVMARIANAS, CFA Sasebo, Japan and TPU CFA Yokosuka
American Correctional Association Accreditation Visit	Triennial	ACA Auditors (NPC-84 Funds)	NPC-84 DODD 1325.4	Navy Consolidated Brigs, Charleston and Miramar
Annual Navy Absentee Collection and Information Center (NACIC) Inspection	Annual	NPC-84	NPC-84 BUPERSINST 1600.6	NACIC Great Lakes
Recruiting Command Inspection Program	Triennial	CNRC IG	NAVY IG CNRCINST 5040.2E SECNAVINST 5040.3	Navy Recruiting Districts
Recruiting Command Supply & Processing Mid-Point Inspection	18 Months	CNRC IG	CNRC CNRCINST 5040.2E, SECNAVINST 5040.3	Navy Recruiting Districts
Transient Administration Assist Visit	Annual	EPMAC, Transient Monitoring Unit	EPMAC BUPERSINST 5450.35A	PSA Detachments, Medical Treatment Facilities, Service School Commands, Training Activities, Recruit Training CMD, Transient Personnel Unit, Brigs Charleston and Miramar